

#21

Sheet 1 of 2

FORM PTO-1449

U.S. Dept. of Commerce
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Atty Docket No.

P1053R2

Serial No.

08/948,149

LIST OF DISCLOSURES CITED BY APPLICANT

(Use several sheets if necessary)

Applicant

Fendly et al.

Filing Date

09 Oct 1997

Group

1641

U.S. PATENT DOCUMENTS

Examiner Initials		Document Number	Date	Name	Class	Subclass	Filing Date
PMS	126	4,935,341	19.06.90	Bargmann et al.	435	6	
PMS	127	5,288,477	22.02.94	Bacus, S.	424	2	
PMS	128	5,401,638	28.03.95	Carney et al.	435	7.23	
PMS	129	5,578,482	26.11.96	Lippman et al.	435	240.1	
PMS	130	5,604,107	18.02.97	Carney et al.	435	7.23	
PMS	131	5,663,144	02.09.97	Greene et al.	514	14	03.05.95
PMS	132	5,705,157	06.01.98	Greene	424	138.1	
PMS	133	5,726,023	10.03.98	Cheever et al.	435	7.1	06.06.95
PMS	134	5,728,687	17.03.98	Bissery	514	90	
PMS	135	5,801,005	01.09.98	Cheever et al.	435	7.24	31.03.95
PMS	136	5,837,243	17.11.98	Deo et al.	424	136.1	
PMS	137	5,837,523	17.11.98	Greene et al.	435	320.1	
PMS	138	5,846,538	08.12.98	Cheever et al.	424	185.1	
PMS	139	5,869,445	09.02.99	Cheever et al.	514	2	
PMS	140	5,876,712	02.03.99	Cheever et al.	424	93.7	
PMS	141	5,877,305	02.03.99	Huston et al.	536	23.53	
PMS	142	5,908,835	01.06.99	Bissery	514	33	
PMS	143	5,910,486	08.01.99	Curriel et al.	514	44	
PMS	144	5,922,845	13.07.99	Deo et al.	530	387.3	
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Examiner Initials		Document Number	Date	Country	Class	Subclass	Translation Yes No	
PMS	149	616,812	28.09.94	EPO	—	—		
PMS	150	711,565	26.08.98	EPO	—	—		
PMS	151	2,895,105B2	21.08.91	JAPAN (ENGLISH ABSTRACT AND CLAIMS)	—	—		
PMS	152	2761543B2	08.06.90	JAPAN (ENGLISH ABSTRACT AND CLAIMS)	—	—		
PMS	153	95006982B2	19.05.87	JAPAN (ENGLISH ABSTRACT AND CLAIMS)	—	—		
PMS	154	3-240498	25.10.91	JP (ENGLISH ABSTRACT ATTACHED)	—	—		
PMS	155	5-117165	14.05.93	JP (ENGLISH ABSTRACT ATTACHED)	—	—		
PMS	156	5-170667	09.07.93	JP (ENGLISH ABSTRACT ATTACHED)	—	—		
PMS	157	5-213775	24.08.93	JP (ENGLISH ABSTRACT ATTACHED)	—	—		
PMS	158	5-317084	03.12.93	JP (ENGLISH ABSTRACT ATTACHED)	—	—		

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PMS Swart

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11-7-00

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FORM PTO-1449	U.S. Dept. of Commerce Patent and Trademark Office	Atty Docket No. P1053R2	Serial No. 08/948,149
		Applicant Fendly et al.	
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FOREIGN PATENT DOCUMENTS

Examiner Initials		Document Number	Date	Country	Class	Subclass	Translation Yes No
<i>MS</i>	159	7-59588	07.03.95	JP (ENGLISH ABSTRACT ATTACHED)			
<i>MS</i>	160	WO 92/10573	25.06.92	PCT <i>WIP</i>			
<i>MS</i>	161	WO 93/12220	24.06.93	PCT			
<i>MS</i>	162	WO 93/21232	28.10.93	PCT			
<i>MS</i>	163	WO 93/21319	28.10.93	PCT			
<i>MS</i>	164	WO 94/28127	08.12.94	PCT			
<i>MS</i>	165	WO 95/16051	15.06.95	PCT			
<i>MS</i>	166	WO 95/17507	29.06.95	PCT			
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<i>MS</i>	168	WO 96/18409	20.06.96	PCT			
<i>MS</i>	169	WO 97/27848	07.08.97	PCT			
<i>MS</i>	170	WO 97/38731	23.10.97	PCT			
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OTHER DISCLOSURES (Including Author, Title, Date, Pertinent Pages, etc.)

<i>MS</i>	172	Baselga et al., "Anti HER2 Humanized Monoclonal Antibody (Mab) Alone and in Combination with Chemotherapy Against Human Breast Carcinoma Xenografts" <u>Proceedings of ASCO-13th Annual Meeting</u> (Abstract #53), Dallas, TX 13:63 (Mar 1994)
<i>MS</i>	173	Baselga et al., "HER2 overexpression and paclitaxel sensitivity in breast cancer: therapeutic implications" <u>Oncology</u> 11(3 Suppl 2):43-48 (Mar 1997)
<i>MS</i>	174	Baselga et al., "Monoclonal antibodies directed against growth factor receptors enhance the efficacy of chemotherapeutic agents " <u>Annals of Oncology</u> (abstract #010) 5(Suppl. 5) (1994)
<i>MS</i>	175	Baselga et al., "Phase II Study of Weekly Intravenous Recombinant Humanized Anti-p185HER2 Monoclonal Antibody in Patients With HER2/neu-Overexpressing Metastatic Breast Cancer" <u>J. Clin. Oncol.</u> 14(3):737-744 (Mar 1996)
<i>MS</i>	176	Baselga et al., "Recombinant Humanized Anti-HER2 Antibody (Herceptin) Enhances the Antitumor Activity of Paclitaxel and Doxorubicin against HER2/neu Overexpressing Human Breast Cancer Xenografts" <u>Cancer Research</u> 58:2825-2831 (July 1998)
<i>MS</i>	177	"Herceptin (Trastuzumab)" <u>Product Information</u> (2000)
<i>MS</i>	178	Hynes and Stern, "The biology of erbB-2/neu/HER-2 and its role in cancer" <u>Biochimica et Biophysica Acta</u> 1198(2-3):165-184 (Dec 30, 1994)
<i>MS</i>	179	Mendelsohn et al., "Receptor blockade and chemotherapy: a new approach to combination cancer therapy " <u>Annals of Oncology</u> (abstract #040) 7(Suppl. 1):22 (1996)
<i>MS</i>	180	Norton, L, "Evolving concepts in the systemic drug therapy of breast cancer" <u>Seminars in Oncology</u> 24(4 Suppl 10):S10-3-S10-10 (Aug 1997)
<i>MS</i>	181	Pegram et al., "Inhibitory effects of combinations of HER-2/neu antibody and chemotherapeutic agents used for treatment of human breast cancers" <u>Oncogene</u> 18:2241-2251 (1999)
<i>MS</i>	182	Raefsky et al., "Phase II Trial of Docetaxel and Herceptin as First- or Second-Line Chemotherapy for Women with Metastatic Breast Cancer Whose Tumors Overexpress HER2" <u>Proceedings of ASCO (Abstract #523)</u> 18:137a (1999)

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